

Regulation No.
1-1-3

31 OCTOBER 1996

Administration
ORGANIZATIONAL INSPECTION PROGRAM

1. Purpose. To prescribe policy, objectives, and responsibilities governing the Missouri River Division (MRD) Organizational Inspection Program.

2. Applicability. This regulation applies to all elements and subordinate organizations of MRD.

3. References.

- a. AR 1-201, Army Inspection Policy.
- b. MRD-R 11-1-1, Management Control Process.

4. Explanation of Terms.

a. MRD Organizational Inspection Program (OIP). The OIP encompasses all Division Office inspection activities and integrates them into a single inspection program. Its purpose is to assure a formal, comprehensive inspection capability which meets Army and USACE requirements, with a focus on assessing ability to execute plans and policy. As implemented by this regulation, the OIP contains policies, objectives, and responsibilities for conducting MRD staff inspection visits. It coordinates staff assistance visits, quality assurance visits, internal reviews, and audits made by MRD elements. The OIP also includes audits and inspections scheduled by external organizations.

b. Staff Inspection Visit. A formal, on-site visit conducted by MRD staff principals and/or Division Office members responsible for the functional area(s) being inspected. As a component of the MRD command inspection process under the OIP, staff inspection visits are documented by a trip report. Such visits may be by a single MRD element or multi-discipline team. The official directing the visit determines inspection scope and depth.

c. Staff Assistance Visit. A visit, as deemed necessary, by MRD staff representatives to a District Office (or subordinate activity thereof) to assist with resolution of problems, gather data necessary to effect solutions by other command levels where appropriate, and provide staff supervision or assistance to facilitate mission efforts.

5. Policy.

a. This regulation implements requirements of AR 1-201 to establish and maintain a formal MRD OIP, which will be used to complement and reinforce other sources of evaluation information, such as the Command Management Review, Civil and Military Program Reviews, Mobilization Readiness Exercise reports, etc.

b. Disruption of normal District work activity is to be minimized. Inspection visits by the Division Office under the MRD OIP will be consolidated where possible, held to the minimum number and duration essential for coverage of District activities, avoid duplication, and complement external inspection efforts. Such visits will be scheduled and conducted in a balanced manner throughout the fiscal year, and not be deferred until near year end, when the District staffs are involved with close-out proceedings.

c. Within the framework of Division Office roles of command and control, regional interface, program management, and quality assurance, objectives of the MRD OIP include:

(1) Providing a comprehensive evaluation of the Districts' mission capability and accomplishment.

(2) Determining District compliance with established policies, plans, and procedures to deliver quality products and services.

(3) Identifying noteworthy strengths, exceptional work, and commendable initiatives.

(4) Teaching, coaching, and assisting the Districts to enhance performance and resolve problem areas.

d. Each Director/Separate Office Chief will conduct a minimum of one staff inspection visit to each District during the fiscal year. Specific areas to be covered and MRD staff representation may vary between visits, and are at the discretion of the Director or Chief. Previously identified corrective actions that remain open, however, will be subject to follow-up during subsequent visits until resolved.

e. Consistent with OIP objectives in paragraph 5.c., staff inspection visits to District counterparts will provide a comprehensive evaluation of:

(1) District accomplishments against recognized performance standards, as reflected in the HQUSACE Consolidated Command

Guidance and Command Management Review, or as established by MRD proponent.

(2) Compliance with applicable requirements set forth by statute, regulation or other pertinent formal directive.

(3) Adequacy of management controls pertaining to the functional area(s) inspected.

(4) Management tools, techniques and processes utilized by District counterparts for program/project execution.

f. Inspection checklists are not required for use during staff inspection visits, but are encouraged as a means to ensure systematic and consistent coverage.

g. Staff assistance visits are not required on a periodic basis; they will be scheduled and conducted when deemed necessary by the MRD functional proponent, as may be directed by the Division Commander, or when requested by the District. Adequacy of management controls will be assessed during these visits, where appropriate to visit purpose and scope. In the context of paragraph 5.b. above, results from staff assistance visits will be appropriately considered when staff inspection visits are held to avoid overlapping or duplicative coverage.

h. For staff inspection and assistance visits, an entrance briefing is not required, but will be held if requested by the District counterparts or District Commander.

i. An exit briefing will be held for staff inspection visits with the Division/Separate Office Chief(s) of the District counterparts being visited, and the District Commander. Exit briefings for staff assistance visits will be held with District counterparts and the District Commander as deemed appropriate to the purpose and results of the visit.

j. Any necessary follow-up on required corrective measures and other actions resulting from staff inspection visits, external inspections and staff assistance visits will be accomplished by the pertinent MRD Directorate/Separate Office.

6. Responsibilities.

a. The Division Commander will:

(1) Ensure that MRD staff inspection and assistance visits to the Districts are conducted as provided for in this regulation,

with noteworthy strengths, exceptional efforts and exemplary actions recognized where appropriate within the Division.

(2) Where warranted by circumstances, direct that specific staff inspection and assistance visits be conducted, and identify any special interest items to be covered.

b. District Commanders will establish and maintain a District level OIP for subordinate elements in accordance with AR 1-201.

c. Directors and Separate Office Chiefs will:

(1) Monitor counterpart functional areas within the District Offices. Conduct staff inspection and assistance visits as required to fulfill responsibilities as MSC functional proponent. Assure that such visits are coordinated in advance with District counterparts.

(2) Review prior visit reports, applicable external inspection reports/audits and other relevant data (e.g., HQUSACE CMR performance measures) prior to conducting staff inspection visits, and ensure that required corrective actions and pertinent issues are appropriately addressed.

(3) Conduct at least one staff inspection visit to each District during the fiscal year. Determine what specific areas are to be covered and which subordinate NRD staff members are to participate. Coordinate specific date(s) of visit and areas to be covered not less than three weeks before the trip with District counterparts.

(4) Perform an assessment during staff inspection visits of management controls, applying the guidance and questions provided in Appendix A of this regulation.

(5) Prepare a trip report to document each staff inspection visit within 10 working days after completion that addresses the objectives cited in paragraph 5.c., management controls, and special interest items as may be designated; send the trip report through the Deputy Commander to the Division Commander, and furnish copies to the applicable District Commander, District counterparts and CEMRD-RM-M.

(6) Direct problems identified by OIP efforts to the proper level needed for corrective action. Utilize staff inspection visit process and other means of evaluation as warranted to follow-up on and document problem areas until resolved.

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(7) During staff inspection visits, verify effectiveness of District OIPs as they pertain to corresponding functional area. at subordinate office level.

(8) Annually provide the following for the next FY to the Directorate of Resource Management (CEMRD-RM-M) by 15 September:

(a) Schedule of planned staff inspection visits to the Districts, broken out according to month.

(b) A schedule, also by month, of other visits planned to the Districts during the FY, such as quality assurance visits, audits, internal reviews and known staff assistance visits to be made.

(c) A list of any known inspection. and audits planned by external organizations of MRD or District counterpart functions/activities, with their scheduled dates, if announced.

d. Directorate of Resource Management will:

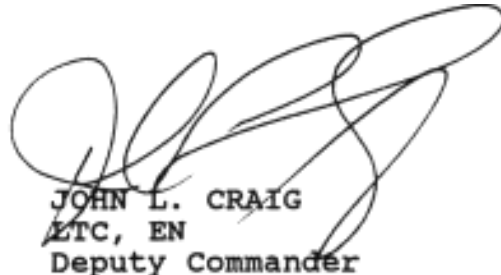
(1) Prepare and maintain the Division Office OIP, which will include the information provided in paragraph 6.c.(8) above.

(2) Provide a schedule by 30 September to the District Commanders which reflects staff inspection visits and other planned visits to the Districts during the following fiscal year.

(3) Monitor execution of the staff inspection visit schedule via trip report copies submitted to CEMRD-RM-M.

7. Management Information Control. Reporting requirements in this regulation are exempt from management information control in accordance with AR 335-15, paragraph 5-2e.

FOR THE COMMANDER:



JOHN L. CRAIG
ETC, EN
Deputy Commander

DISTRIBUTION:

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APPENDIX A

MANAGEMENT CONTROL ASSESSMENT

Effective District management controls promote mission execution with declining resources by enhancing efficiency and effectiveness through the prevention of mismanagement, misappropriation, waste, fraud and abuse. Management controls are any process, procedure, rule, mechanism, technique, organizational arrangement, staffing action, or tracking, monitoring, reconciliation and follow-up process used by a manager to ensure that what should get done actually gets done - on time, within budget and in full compliance with applicable public policy, laws, rule. and regulations. They are a fundamental component of mission execution and stewardship of resources. Therefore, a management control assessment is an integral part of a staff inspection visit. It is not a separate, distinct aspect of the visit, nor a separate component of the trip report, but rather it is incorporated into the inspection of all issues and functions covered throughout the visit. The management control assessment of issues and functions covered in the visit should address the following:

1. An evaluation of typical management controls common to most operations, as well as unique management controls which may be applicable only to the operation or function being inspected. This is particularly critical if the inspection indicates that performance, compliance or mission accomplishment are less than successful. Management controls are usually at the root of performance, compliance or mission accomplishment problems.

2. An evaluation of District managers' understanding of their management control responsibilities as demonstrated by findings associated with the following questions:

- a. Do managers' actions, as well as the dialogue during the staff inspection visit, indicate recognition and accomplishment of their inherent and explicit responsibility to establish and utilize effective management controls in their operations?

- b. When the performance of their operation is unsatisfactory, errors are made, or there is evidence of mismanagement, are there indications that managers analyze and improve management controls to rectify the problem(s)?

- c. Do managers ensure timely and effective resolution of audit findings and recommendations, and implementation of agreed-upon corrective actions?

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d. Are responses to recent management control evaluation checklist questions valid and accurate; do they indicate management control shortcomings that have not been adequately addressed?

e. Do managers' Total Army Performance Evaluation System (TAPES) performance objectives include the required management control objective?

f. Do managers have a copy of the District Management Control Regulation?